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PTO/SB/05 (11-00)

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UTILITY  
PATENT APPLICATION  
TRANSMITTAL

|                        |                              |
|------------------------|------------------------------|
| Attorney Docket No.    | 506512001220                 |
| First Inventor         | Terrence BUELNA              |
| Title                  | ANASTOMOSIS OCCLUSION DEVICE |
| Express Mail Label No. | EL779889749US                |

(Only for new nonprovisional applications under 37 CFR 1.53(b))

## CERTIFICATE OF MAILING BY "EXPRESS MAIL"

Express Mail Label No.: EL779889749US

Date of Deposit: January 28, 2002

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. § 1.10 on the date indicated above and is addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231.

Tamara Alcaraz

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

1. ☒ Fee Transmittal Form (e.g. PTO/SB/17) (1 page in duplicate)  
(Submit an original, and a duplicate for fee processing)  
Applicant claims small entity status.  
See 37 CFR 1.27.

2. ☒ Specification [Total Pages 30]  
(preferred arrangement set forth below)  
- Descriptive title of the invention  
- Cross Reference to Related Applications  
- Statement Regarding Fed sponsored R & D  
- Reference to sequence listing, a table, or a computer program listing appendix  
- Background of the invention  
- Brief Summary of the invention  
- Brief Description of the Drawings (if filed)  
- Detailed Description  
- Claim(s)  
- Abstract of the Disclosure

3. ☒ Drawing(s) (35 USC 113) [Total Sheets 13]

4. ☒ Oath or Declaration [Total Pages 1]  
a. ☐ Newly executed (original or copy)  
b. ☐ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 18 completed)  
i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)

5. ☒ Application Data Sheet. See 37 CFR 1.76 (3 pages)

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)  
8. ☐ Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)  
a. ☐ Computer Readable Form (CRF)  
b. ☐ Specification Sequence Listing on:  
i. ☐ CD-ROM or CD-R (2 copies); or  
ii. ☐ paper  
c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))  
10. ☐ 37 CFR 3.73(b) Statement (where there is an assignee) ☐ Power of Attorney  
11. ☐ English Translation document (if applicable)  
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations  
13. ☐ Preliminary Amendment  
14. ☒ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)  
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)  
16. ☐ Request and Certification under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.  
17. ☐ Other

18. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☒ Continuation-in-part (CIP) of prior application No: 09/887,477

Prior application information:

Examiner \*

Group / Art Unit \*

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. This incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Labelor ☒ Correspondence address below

25226

PATENT TRADEMARK OFFICE

(Insert Customer No. or Attach bar code label here)

|                   |                       |           |                                   |                  |              |
|-------------------|-----------------------|-----------|-----------------------------------|------------------|--------------|
| Name              | Momson & Foerster LLP |           |                                   |                  |              |
| Address           | 755 Page Mill Road    |           |                                   |                  |              |
| City              | Palo Alto             | State     | California                        | Zip Code         | 94304-1018   |
| Country           | USA                   | Telephone | 650-813-5600                      | Fax              | 650-494-0792 |
| Name (Print/Type) | Kelvan Patrick Howard |           | Registration No. (Attorney/Agent) | P-48,999         |              |
| Signature         |                       |           | Date                              | January 28, 2002 |              |

# FEE TRANSMITTAL FOR FY 2002

Patent fees are subject to annual revision.

## Complete if Known

|                      |                 |
|----------------------|-----------------|
| Application Number   | To Be Assigned  |
| Filing Date          | Herewith        |
| First Named Inventor | Terrence BUELNA |
| Examiner Name        | To Be Assigned  |
| Group Art Unit       | To Be Assigned  |
| Attorney Docket No.  | 506512001220    |

TOTAL AMOUNT OF PAYMENT

(\$834.00)

### METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number: 03-1952  
Deposit Account Name: Morrison & Foerster LLP

- ☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17

- ☒ Applicant claims small entity status. See 37 CFR 1.27

2. ☐ Payment Enclosed:

- ☐ Check ☐ Credit Card ☐ Money Order ☐ Other

### FEE CALCULATION

#### 1. BASIC FILING FEE

| Large Fee Code | Entity Fee (\$) | Small Fee Code | Entity Fee (\$) | Fee Description        | Fee Paid |
|----------------|-----------------|----------------|-----------------|------------------------|----------|
| 101            | 740             | 201            | 370             | Utility filing fee     | 370      |
| 106            | 330             | 206            | 165             | Design filing fee      |          |
| 107            | 510             | 207            | 255             | Plant filing fee       |          |
| 108            | 740             | 208            | 370             | Reissue filing fee     |          |
| 114            | 160             | 214            | 80              | Provisional filing fee |          |

SUBTOTAL (1) (\$370.00)

#### 2. EXTRA CLAIM FEES

| Total Claims | Independent Claims | Multiple Dependent | Extra Claims | Fee from below | Fee Paid |
|--------------|--------------------|--------------------|--------------|----------------|----------|
| 42           | 6                  |                    | 22           | 9              | \$198    |
|              |                    |                    | 3            | 42             | \$126    |
|              |                    |                    |              |                | \$140    |

| Large Fee Code | Entity Fee (\$) | Small Fee Code | Entity Fee (\$) | Fee Description   |
|----------------|-----------------|----------------|-----------------|---|
| 103            | 18              | 203            | 9               | Claims in excess of 20                                    |
| 102            | 84              | 202            | 42              | Independent claims in excess of 3                         |
| 104            | 280             | 204            | 140             | Multiple dependent claims, if not paid                    |
| 109            | 84              | 209            | 42              | **Reissue independent claims over original patent         |
| 110            | 18              | 210            | 9               | **Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$464.00)

\*\* or number previously paid, if greater; For reissues, see above.

### FEE CALCULATION (continued)

#### 3. ADDITIONAL FEES

| Large Fee Code | Entity Fee (\$) | Small Fee Code | Entity Fee (\$) | Fee Description  | Fee Paid |
|----------------|-----------------|----------------|-----------------|--|----------|
| 105            | 130             | 205            | 65              | Surcharge - late filing fee or oath  |          |
| 127            | 50              | 227            | 25              | Surcharge - late provisional filing fee or cover sheet                       |          |
| 139            | 130             | 139            | 130             | Non-English specification  |          |
| 147            | 2,520           | 147            | 2,520           | For filing a request for ex parte reexamination                              |          |
| 112            | 920*            | 112            | 920*            | Requesting publication of SIR prior to Examiner action                       |          |
| 113            | 1,840*          | 113            | 1,840*          | Requesting publication of SIR after Examiner action                          |          |
| 115            | 110             | 215            | 55              | Extension for reply within first month                                       |          |
| 116            | 400             | 216            | 200             | Extension for reply within second month                                      |          |
| 117            | 920             | 217            | 460             | Extension for reply within third month                                       |          |
| 118            | 1,440           | 218            | 720             | Extension for reply within fourth month                                      |          |
| 128            | 1,960           | 228            | 980             | Extension for reply within fifth month                                       |          |
| 119            | 320             | 219            | 160             | Notice of Appeal   |          |
| 120            | 320             | 220            | 160             | Filing a brief in support of an appeal                                       |          |
| 121            | 280             | 221            | 140             | Request for oral hearing   |          |
| 138            | 1,510           | 138            | 1,510           | Petition to institute a public use proceeding                                |          |
| 140            | 110             | 240            | 55              | Petition to revive - unavoidable   |          |
| 141            | 1,280           | 241            | 640             | Petition to revive - unintentional   |          |
| 142            | 1,280           | 242            | 640             | Utility issue fee (or reissue)   |          |
| 143            | 460             | 243            | 230             | Design issue fee   |          |
| 144            | 620             | 244            | 310             | Plant issue fee  |          |
| 122            | 130             | 122            | 130             | Petitions of the Commissioner  |          |
| 123            | 50              | 123            | 50              | Petitions related to provisional applications                                |          |
| 126            | 180             | 126            | 180             | Submission of Information Disclosure Stmt                                    |          |
| 581            | 40              | 581            | 40              | Recording each patent assignment per properties (times number of properties) |          |
| 146            | 740             | 246            | 370             | Filing a submission after final rejection (37 CFR § 1.129(a))                |          |
| 149            | 740             | 249            | 370             | For each additional invention to be examined (37 CFR § 1.129(b))             |          |
| 179            | 740             | 279            | 370             | Request for Continued Examination (RCE)                                      |          |
| 169            | 900             | 169            | 900             | Request for expedited examination of a design application                    |          |

Other fee (specify)


\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

(\$0)

### SUBMITTED BY

Complete (if applicable)

|                   |   |                                   |                  |           |                |
|-------------------|---|-----------------------------------|------------------|-----------|----------------|
| Name (Print/Type) | Kelvan Patrick Howard   | Registration No. (Attorney/Agent) | P-48,999         | Telephone | (650) 813-5909 |
| Signature         |  | Date                              | January 28, 2002 |           |                |

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.